

QUALITY ASSURANCE STANDARDS - Compliance tracking tool*Contract Manager:**Site:**Review Period:***1. Annual Background Authorizations**

(Internal - HCQA)

HCQA will review the number of current/active Providers automatically removed from database due to overdue background reviews > 12 months:

Measurement:

The total active IP's statewide/ # removed statewide = % Removed

Total active IP per site/# removed per site = % Removed per site

Proficiency - Expectation: *to be established***Met/Not met***Notes:***2. Provider File Review**

(Review on Site)

Prior to site visit, HCQA contract manager will randomly select 10 active provider names for the file review to assure the following are included:

- a) Registry application with signature page
- b) Background forms and results, including CC&S decisions.
- c) Copies of Picture ID, Social security number verified.
- d) Evidence (checklist) of completed interview.
- d) Completed I-9
- e) Intake forms A-D (including PFAR if contracted)
- f) Copy of DSHS IP contract (if available)
- e) Copy of Orientation certificate (if available)

Measurement:

Each file represents 10% of total.

One missing item = incomplete file.

Proficiency - Expectation: 90%**Met****Not met***Notes:***3. Consumer File Review**

(Review on Site)

HCQA contract manager will randomly select 10 consumer names that have received services in the previous 12 months for the file review:

- a) Registry application with signature page.
- b) Consent form or notation of consent given over phone.
- c) Copies of written referrals sent to consumer.

Measurement:

Each file represents 10% of total.

One missing item = incomplete file.

Proficiency - Expectation: 80%**Met****Not met***Notes:*

4. Verification of Provider Availability (Internal - HCQA)

Each office will establish a central file to keep a copy of all referrals provided or sent to a consumer. Establishment and use of file will be verified by contract manager at time of site visit.

- a) Central file contains month by month list of every referral sent.
- b) At random points in time, HCQA will request a copy of the consumer referral file. Providers (randomly selected) will be contacted by HCQA to verify that pre-referral contact was made to establish the IP's availability.

Measurement:

Review 10% of total monthly referrals per site
(exceptions considered on a case by case basis)

Proficiency - Expectation: 90%

☐ **Met**☐ **Not met**

Notes:

5. Provider Employment (Internal - HCQA)

HCQA will review of monthly lists that report the providers processing status at time of employment. List is generated from registry database in order to assess the IP's status at time of employment.

Measurement:

Any provider with a record of employment whose employment start date begins prior to their enrollment date on the registry will not be counted as a record of employment.

Total number of hires divided by the number of "false" reports.

Proficiency - Expectation: 80%

☐ **Met**☐ **Not met**

Notes:

6. Consumer Follow-up (Internal - HCQA)

- a) Consumer surveys demonstrate that follow-up calls from Registry staff occur consistently, after a referral list is sent to the respective consumer.

Measurement and Proficiency - Expectation:

Survey responses regarding follow-up calls to consumers are evaluated and communicated to the HCRRs on a monthly basis.

Proficiency - Expectation: 80%

☐ **Met**☐ **Not met**

Notes: